



## APPLICATION FOR RECORDS RETENTION SCHEDULE

860602-02

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

**INSTRUCTIONS:** See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Georgia Department of Education Office of Administrative Services Division of Fiscal Services Grants Management Section 205 Butler Street, 1570 Twin Towers East Atlanta, Georgia 30334	Application Number	85-8-A
Application Number		Date Received JUN 2 1986	Date Completed JUN 6 1987
2. Person to Contact Donald L. Moore		Working Title Senior Grants Administrator	Telephone Number 656-2441
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 85-8 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 7/82 Latest Present		5. Records Series Title (followed by title used in office, if different) Annual State Audits	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Grants Management Section was authorized in March 1981 as a Section within the Fiscal Services Division to perform the function of resolving fiscal aspects of audits, including the reclaim of funds (state or federal) related to audit exceptions.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Documents relating to Resolving audit questions, including reclaiming funds related to audit exceptions cited in The annual state audit as published by the Georgia Department of Audits and Accounts for 187 School Systems, 16 Cooperative Educational Services Agencies (CESA's), 46 or more county and regional libraries, and independent vocational technical schools. Included are: (a) audit, (b) copies of the auditor's workpapers to support questioned cost(s), (c) correspondence to departmental program managers, local School Systems, CESA directors, libraries, and vocational technical schools, and (d) copies of correspondence to the Accounting Services Section to deposit any refund(s), including copy of check(s).			
File is arranged: Alphabetically by School System name, counties first, followed by city systems, CESAs, counties for libraries, and independent vocational schools.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old 25; Seven to twelve months old 10; Thirteen to twenty-four months old No experience twenty-five months and older No experience			
9. Annual Rate of Accumulation of Records Letter-size drawers ; Legal-size drawers 2; Shelves ; Other (specify)			

X	a. Is this the official copy of the series? If not, where is it? <u>State Audit Department or recipient agency</u>
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c. Is this a vital record?
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? <u>Published audit in Financial Review Section; only complete file in my</u> <span style="float: right;">Section</span>
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

- |                          |                      |                                   |                      |
|--------------------------|----------------------|-----------------------------------|----------------------|
| a. State Law             | <u>3</u> years.      | d. Audit period                   | <u>2</u> years.      |
| b. Statute of limitation | <u>0</u> years.      | e. Administrative need            | <u>2</u> years.      |
| c. Federal law           | <u>      </u> years. | f. Federal retention instructions | <u>3 or 5</u> years. |

Attach copy or excerpt of laws or regulations. Explain administrative need. 34 CFR Parts 74.62 and 75.734- depending on federal program, record retention can either be three or five years. Since audit report is bound, the report cannot be separated, Publication of the audit for a given fiscal year can be extended into two subsequent state fiscal years. Also, audit files need to be referred to, or held until audit closure which explains two years administrative need.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year, ☒ Fiscal Year; ☐ Other        then,

- ☒ Hold in the current files area        month(s) 2 year(s); then
- ☐ Transfer to local holding area; hold        year(s); then
- ☒ Transfer to State Records Center; hold 4 year(s); then
- ☒ Destroy. NOTE: These files must be retained until final resolution of all legal claims or audit questions.\*
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

\*Recipient audit files may need to be reviewed prior to destruction since the file may not be destroyed if there is on-going litigation, or activity going on beyond the end of the state fiscal year.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>H. Johnson, Jr.</i>	<i>5/13/86</i>	<i>Yickie Baker</i>	<i>5/28/86</i>
State Records Committee (Signature)			
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	<i>24-87</i>
	Secretary of State/Designee	<i>Edward Weldon</i>	<i>2/2/87</i>
	Attorney General/Designee	<i>[Signature]</i>	<i>4/5/87</i>

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FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Georgia Department of Education Office of Administrative Services Division of Fiscal Services Grants Management Section 205 Butler Street, 1570 Twin Towers East Atlanta, Georgia 30334	Application Number <b>85-8</b>	Date Received <b>DEC 06 1984</b>
Application Number		Date Completed <b>MAR 29 1985</b>	
2. Person to Contact Donald L. Moore		Working Title Senior Grants Administrator	
		Telephone Number 656-2441	
3. Action Requested			
a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.			
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.			
c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series (Present) Earliest _____ Latest <b>7/82</b> FY83		5. Records Series Title (followed by title used in office, if different) Annual State Audits	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Grants Management Section was authorized in March 1981 as a Section within the Fiscal Services Division to perform the function of resolving fiscal aspects of audits, including the reclaim of funds (state and federal) related to audit exceptions.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: The annual state audit as published by the Georgia Department of Audits and Accounts for 187 School Systems and 16 Cooperative Educational Services Agencies (CESAs). Included are: (a) audit, (b) copies of the auditor's workpapers to support questioned cost(s), (c) correspondence to departmental program managers, local School Systems or CESA directors and (d) copies of correspondence to the Accounting Services Section to deposit any refund(s), including copy of check(s).  File is arranged: Alphabetically by School System name, counties first, followed by city systems, and CESAs.			
8. Monthly Reference Rate One to six months old <u>100</u> ; Seven to twelve months old <u>50</u> ; Thirteen to twenty-four months old <u>no experience</u> twenty-five months and older <u>no experience</u>			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>2</u> ; Shelves _____; Other (specify) _____			

X	If not, where is it?
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c. Is this a vital record?
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

a. State Law	0	years.	d. Audit period	1	years.
b. Statute of limitation	0	years.	e. Administrative need	3	years.
c. Federal law	3	years.	f. Federal retention instructions	0	years.

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Attach copy or excerpt of laws or regulations. Explain administrative need.

34 CFR Part 74.62 Non-Federal audits - State and local governments and Indian tribal governments.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ 2 \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold \_\_\_\_\_ 2 \_\_\_\_\_ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

\* Fiscal Year 83 audits were not released to Dept. until 7 or 8 months had passed in FY 84. Files were cut off off at end of FY 83 but all 203 audits were not received until August 84, which is 1 month into FY 85. In order to cover 3 year Federal audit period, files were placed in inactive file after all were received; then held in CFA 2 years; then transferred SRC for 2 years; then destroy.

Per Donald Moore - phone conversation - 1/4/85.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>A. Wayman Culp</i>	12/3/84	<i>Claudia Stipe</i>	11/30/84
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	2/14/85
		Secretary of State/Designee	2/11/85
		Attorney General/Designee	3/19/85